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PATENTS  
CF-36

2123

(5)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Mark Colaio  
Application No.: 10/015,739 Confirmation No.: 8873  
Filed : December 12, 2001  
For : METHOD AND SYSTEM FOR TRAINING TRADERS  
Group Art Unit : 2123  
Examiner : Unassigned

New York, New York 10020  
April 24, 2002

Commissioner for Patents  
Arlington, VA 22202

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure  
Statement for the above-identified application. This  
Statement is submitted:

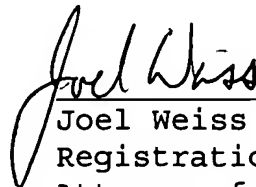
- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this

Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

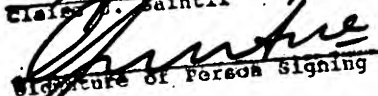


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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicant hereby makes the documents listed below of record in  
the above-identified application.

U.S. Patents

Damewood et al.	U.S. Patent No. 3,581,077	(05/25/71)
Braddock, III	U.S. Patent No. 4,412,287	(10/25/83)
Laborde	U.S. Patent No. 4,588,192	(05/13/86)
Kalmus et al.	U.S. Patent No. 4,674,044	(06/16/87)
Silverman et al.	U.S. Patent No. 5,077,665	(12/31/91)
Winkelman	U.S. Patent No. 5,102,143	(04/07/92)
Higgins	U.S. Patent No. 5,270,922	(12/14/93)
Trojan et al.	U.S. Patent No. 5,297,032	(03/22/94)

Lozman	U.S. Patent No. 5,689,651	(11/18/97)
Ginsberg	U.S. Patent No. 5,774,880	(06/30/98)
Broka et al.	U.S. Patent No. 5,809,483	(09/15/98)
Ginsberg	U.S. Patent No. 5,857,176	(01/05/99)
Lawrence	U.S. Patent No. 5,915,209	(06/22/99)
Bukowsky	U.S. Patent No. 5,934,674	(08/10/99)
Keiser et al.	U.S. Patent No. 5,950,176	(09/07/99)
Hawkins et al.	U.S. Patent No. 6,029,146	(02/22/00)
Fikki	U.S. Patent No. 6,322,076	(11/27/01)

#### Other Documents

Isaac, M. et al., "Price Controls and the Behavior of Auction Markets: An Experimental Examination," American Economic Review, vol. 71, pp. 448-459 (June 1981).

Forsythe, R. et al., "Asset Valuation in an Experimental Market," Econometrica, vol. 50, pp. 537-567 (May 1982).

Plott, C. et al., "Efficiency of Experimental Security Markets with Insider Information: An Application of Rational Expectations Models," Journal of Political Economy, vol. 90, pp. 663-698 (August 1982).

Plott, C., "Externalities and Corrective Policies in Experimental Markets." Economic Journal, vol. 93, pp. 106-127 (March 1983).

Plott, C., "Rational Choice in Experimental Markets." Journal of Business, vol. 59, pp. S301-S327 (October 1986).

Landis, K., "Multi-Talented System Opens Windows for Trader's World," Wall Street Computer Review, pp.86-93 (April 1988).

Matthew, J., "OTC Success Spurs Specialized Trading Systems," Wall Street Computer Review, pp. 28-38 (September 1989).

David Leinweber, "Knowledge-Based systems for Financial Applications," IEEE Expert, vol. 3, pp.18-30 (Fall 1998).

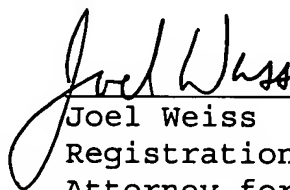
Colin F. Camerer, Markus Nöth, Charles Plott, and Martin Weber. "Information Aggregation in Experimental Asset Markets: Traps and Misaligned Beliefs," Social Science Working Paper No. 1060. Pasadena: California Institute of Technology (April 1999).

Peter Bossaerts and Charles Plott, "Basic Principles of Asset Pricing Theory: Evidence from Large-scale Experimental Financial Markets," Social Science Working Paper No. 1070. Pasadena: California Institute of Technology (February 2000).

Copies of these documents are enclosed herewith. It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicant requests that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

  
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